TRIM Context v5.2
by TOWER Software

TRIM Context Summary Report

The Joint Interoperability Test Command (JITC) tested TOWER Software's TRIM Context v5.2, a stand-alone records management application (RMA) at the TOWER Software facility in Canberra, Australia from 2 through 12 June 2003. The implementation was verified using version 7.0 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

JITC performed follow-up testing 7 through 11 July at the TOWER facility in Reston, Virginia. JITC tested TRIM Context v5.2 on additional platforms including the Oracle 9i database and the UNIX Solaris 8.0 server operating system. In addition, JITC tested TRIM Context v5.2 for compliance with Chapter 4, Management of Classified Records. All mandatory requirements of Chapter 2 and Chapter 4 were satisfied.

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1. Product Identification

TRIM Context v5.2, hereafter referred to as TRIM Context, is a stand-alone RMA. TRIM Context includes a security module that can be activated to handle the management of classified records. Organizations have the option of implementing TRIM Context with or without activating the security module.

The TRIM software package, as tested, consisted of the following programs and utilities:

- TRIM Context v5.2
- TRIM Master (Synchronization) Server
- TRIM Workgroup Server
- TRIM Event Processor
- TRIM Document Store

2. Test Configuration

The test configuration for the Canberra, Australia test consisted of:

- One server running the Microsoft (MS) Windows 2000 Server Operating System (OS) and the MS SQL Server 2000.
- One server running the MS Windows 2000 Server OS, the TRIM Workgroup Server, the TRIM Master Server, the TRIM Event Server, the TRIM Document Content Indexes, and the TRIM Document Store.
- One server running MS Exchange 2000.

- One server running Lotus Notes 6.
- Two client Personal Computers (PCs) running MS Windows 2000 Professional. Installed software included MS Office 2000 Professional (SP3), MS Outlook 2000, Lotus Notes Mail 6, and TRIM Context v5.2.
- Two client PCs running MS Windows XP Professional. Installed software included MS Office XP Professional (SP2), MS Outlook 2002, Lotus Notes Mail 6, and TRIM Context v5.2.

The test configuration for the Reston, Virginia test consisted of:

- One server running the MS Windows 2000 Server OS, the TRIM Master Server, the TRIM Workgroup Server, the TRIM Document Store, the TRIM Document Content Index, MS SQL Server 2000, and Oracle 9i.
- One server running UNIX Sun Solaris 8.0 OS and Oracle 9i.
- One server running MS Exchange 5.5.
- One server running Lotus Notes 6 Domino Server.
- One client PC running MS Windows 2000 Professional. Installed software included MS Office 2000 Professional (SP3), MS Outlook 2000, Lotus Notes Mail 6, and TRIM Context v5.2.
- One client PC running MS Windows XP Professional. Installed software included MS Office XP Professional (SP2), MS Outlook 2002, Lotus Notes Mail 6, and TRIM Context v5.2.

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

TRIM Context manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

TRIM Context stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

TRIM Context provides the capability to implement standard data. It allows the use of unlimited user-defined fields, with complete customization of data element labels for record profile entry templates, on-screen displays, and report output.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for this product against version two of DoD 5015.2-STD[1], therefore test data was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

TOWER Software provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

[1] Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.6 Implementing File Plans [C2.2.1.]

TRIM Context provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instruction unless another disposition instruction is specified for that lower level component.

Access to the associated TRIM Context functions is granted/restricted through the assignment of privileges to groups and/or users. TRIM Context provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage folders.

3.7 Scheduling Records [C2.2.2.]

TRIM Context automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

3.8 Declaring and Filing Records [C2.2.3.]

TRIM Context provides the capability to file both electronic and non-electronic records. TRIM Context allows users to file records through the main user interface or drag and drop files from Windows Explorer onto the TRIM icon on the desktop, complete the record profile, and file the record.

At the time of filing, TRIM Context assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9 Filing E-mail Messages [C2.2.4.]

TRIM Context provides the capability to file e-mail messages from MS Outlook and Lotus Notes Mail. TRIM automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing e-mail that has an attachment(s), TRIM Context allows the user to file the e-mail message and the attachment(s) as a single record, or file each attachment separately. Users can specify in the TRIM Context e-mail system options whether they want to use the e-mail or electronic record profile when filing attachments separately.

3.10 Storing Records [C2.2.5.]

TRIM Context uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the file, folder and document levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 and Oracle 9i provided the databases during the compliance test.

3.11 Screening Records [C2.2.6.1.]

TRIM Context provides record screening functionality via search functions. Templates guide the creation of both simple and advanced search queries. To find out which records and files have outstanding pending events, records managers must search by "pending event," specify the event type (transfer, destroy, etc.), and a reference date, user-defined date, or date range. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

TRIM Context offers records managers and privileged users the ability to close folders by assigning edit privileges to folders. To close a folder to further filing, authorized users right click on the folder, select the "Details" menu, and then select the "Dates" option. They enter the current date and click "OK" to close the folder.

3.13 Cutting Off Record Folders [C2.2.6.3.]

When creating folders with time-based dispositions, records managers can add a user-defined "Cutoff Date" field to the folder profile to assist in screening for cutoff. When creating folders with event-based dispositions, records managers should also add either an "Event" field to place on the folders or add the event information to the "Notes" field.

To cut off record folders, records managers search on the appropriate field for folders due for cutoff as of a certain date or event. A list of folders matching the criteria will display. Records managers select the folder(s) they wish to perform cutoff on and enter the date in the "Cutoff Date" field. Records managers must also close the folder as described in 3.12 to prevent users from filing into the cut off folder.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

TRIM Context provides the capability to freeze and unfreeze folders and records. If a hold is applied to a record folder or a single record contained within a folder, TRIM Context prevents records managers from disposing of the folder and/or records attached to the folder.

3.15 Transferring Records [C2.2.6.5.]

Records managers search the database for all records with a pending event of "Archive (Local, Interim, or Permanent)." They invoke TRIM Context's Retention function to physically process the records due for transfer. The records manager selects the records due for transfer and changes the disposition to Local, Interim, or Permanent Archive, based on the disposition schedule. Records managers then use TRIM Context's Export utility to export the records and their metadata to a user-specified directory.

3.16 Destroying Records [C2.2.6.6.]

Records managers search the database for all records due for destruction and invoke TRIM Context's Retention function to process the eligible records. The Retention function displays a template with the status of the last completed trigger (i.e., cutoff or closed). Records managers must change the disposition to "Destroy."

TRIM Context allows the records manager to delete the records from the repository and automatically updates the profiles to reflect the records destruction. Profiles of deleted records remain in the database by default; however, records managers can delete the profiles if desired. TRIM Context's audit log records all of the destruction transactions. Deleted records are not recoverable with a file recovery utility.

3.17 Cycling Vital Records [C2.2.6.7.]

TRIM Context provides the capability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. When records managers create file plan categories and designate them as vital, TRIM Context prompts them to schedule a task to review the vital records. They specify a cycle period and assign a contact to receive an e-mail notification when the vital records need to be reviewed.

3.18 Searching for and Retrieving Records [C2.2.6.8.]

Simple searches in TRIM Context allow users to search on one value at a time, whereas advanced searches allow users to search using two or more values and the Boolean AND, OR, or NOT operators. Users can save frequently used searches and share them with others, if desired.

Users also have the opportunity to select exactly what fields should be presented in the search results view pane and specify the order. Records are retrieved based on the user's permissions.

The user can also extract a copy of the record to the workstation.

3.19 Access Controls [C2.2.7.]

TRIM Context provides several methods to control user access to records held in the repository. This control is managed in three ways: Security Levels, Supplemental Markings (Security Caveats), and Access Control. Combinations of these functions ensure that records can be held securely and can only be accessed by users with the permission to view or modify those records.

TRIM Context supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20 System Audits [C2.2.8.]

TRIM Context offers the capability to perform two types of audit logging. The system audit log captures all activity that occurs in the repository to include record title, number and container changes, record movements, and record deletions. TRIM Context can also be configured so that a record's individual audit log is captured. The individual record audit trails can be configured differently from one record type to the next. The system administrator selects the events that are written to the system and individual record audit logs.

TRIM Context collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user’s attempt at unauthorized access.

3.21 System Management Requirements [C2.2.9.]

The operating system (MS Windows 2000 Server) and database management systems (SQL 2000 and Oracle 9i) provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Making Global Changes [C3.2.1.]

TRIM Context includes a "Tag" feature that allows authorized users to perform a variety of global tasks on records filed in the repository. Authorized users make global changes to record categories by "tagging" a set of records, right-clicking, and selecting the "Classification" function. Authorized users can also make global changes to disposition instructions. In addition to making global changes to record object components, TRIM Context allows authorized users to make global changes to information that resides in various control tables (e.g., contacts, security, user-defined fields with lookup sets, etc.).

4.2 Bulk Loading Capability [C3.2.2.]

TRIM Context's TRIMPort provides the capability to bulk load record data, including the associated electronic files from another TRIM database, a non-TRIM database, or a newly created import file. The TRIMPort function operates as a wizard that guides a user through the importing/exporting process.

TRIMPort also allows authorized users to import records management data such as disposition instructions and codes, file/category codes, locations, thesaurus words, etc. into TRIM Context.

4.3 Interfaces to Other Software Applications [C3.2.3.]

TOWER provides a Software Development Kit (SDK) for integration with other software applications. These components expose interfaces in accordance with Microsoft's Component Object Model (COM), and are accessible to a variety of programming tools including Visual Basic, Java, C++, PowerBuilder, Lotus Notes, JavaScript, VBScript, and Active Server Pages.

TOWER Software and its business partners have developed interfaces to the following applications to provide users with document management and records management capabilities:

- Adobe Acrobat 6.0
- Adobe Form Server 5.0
- Adobe Web Output Pak 2.05
- Kofax Ascent Capture
- Odyssey Development ISYS: web.asp

4.4 Report Writer Capability [C3.2.4.]

TRIM Context's Report Designer is based on the underlying search facility inherent in TRIM. The Report Designer interface allows users to design reports by dragging and dropping record profile data fields onto a report layout, and dragging the data field to the desired location. Once designed, reports can be saved and made available for future use.

4.5 On-Line Help Capability [C3.2.5.]

TRIM Context has an extensive on-line help feature. Through the use of common MS Windows conventions, users can navigate through a wide variety of operational and administrative information. TRIM Context provides context-sensitive help when accessed from any of the user dialogs.

4.6 Document Imaging Capability {C3.2.6.]

TRIM Context includes a built-in TWAIN compliant imaging application called TRIMage. TRIMage is designed to support low-volume imaging requirements, and allows the user to scan and file images directly into the TRIM repository.

4.7 Fax Integration Capability [C3.2.7.]

TRIM Context provides the capability to interface with desktop and server based fax products to capture fax records in their native format. If the fax system is integrated with the mail system, such as MS Outlook, faxes can be sent directly to the TRIM repository. Other types of fax systems can be routed to a network directory location for filing to TRIM.

TRIM Context's Reports function also allows a user to output TRIM information to a fax-server application. The user selects the appropriate fax machine from their printer drop-down list.

4.8 Bar Code Systems [C3.2.8.]

TRIM Context's Bar Code feature enables barcode label creating, printing, and reading for objects within the TRIM database, including marking of records to identify new locations, moving records, attaching an archive schedule to a record, completing an outstanding action, and conducting a record audit.

4.9 Retrieval Assistance Capability [C3.2.9.]

TRIM Context has extensive search and retrieval capabilities. Users are able to perform detailed searches on more than 80 searchable fields as well as an unlimited number of user-defined fields using various search methods, including keyword, full text, Boolean, and range searches. Users are also able to perform advanced searches combining up to 100 different search lines, and are able to save search criteria, eliminating the need to re-enter search parameters. Additionally, TRIM Context includes a Quick Find toolbar that provides access to the search function for carrying out simple searches.

4.10 File Plan Component Selection/Search Capability [C3.2.10.]

TRIM Context's Classification Plan includes a search function that allows a user to search within the classification (file) plan. The user is able to select all the file plan top levels, search by a file plan number, or search by a file plan word. Once the desired file plan levels are retrieved, the user is then able to use TRIM Context's "Tag" and "Send To" functions to send the selected levels to the user's Favorites shortcut bar.

4.11 Workflow/Document Management Features [C3.2.11.]

TRIM Context's concept of workflow is divided into two separate modules: Action Tracking and Advanced Workflow. Action Tracking is a record-centric workflow function. It allows an authorized user to assign and update actions and procedures attached to a record, thereby tracking the workflow of a record.

TRIM Context's Advanced Workflow expands on the Action Tracking module by allowing multiple streams of a particular workflow, workflow rollback, and other features not available in Action Tracking. Advanced Workflow is process-centric. For example, multiple records may be attached to a workflow. TRIM Context's workflow feature includes a graphical view, parallel activities, decision branching, and decision looping.

4.12 Records Management Forms Production [C3.2.12.]

TRIM Context comes with over 40 pre-defined records management-related reports. Using TRIM's built-in Report Designer, users are able to create and/or modify an existing report format to meet a specific records management form. Users are also able to generate completed standard record management forms such as:

- Forms 115 and 115A, Request for Records Disposition Authority
- Forms 135 and 135A, Records Transmittal and Receipt
- Form 258, Request for Transfer, Approval, and Receipt of Records to the National Archives of the United States
- National Archives Form 14012, Database Record Layout
- National Archives Form 14097, Technical Description for Transfer of Electronic Records to the National Archives

4.13 Print File Label Capability [C3.2.13.]

TRIM Context's Report Designer provides the capability to generate printed labels. Users are able to create a variety of labels, including barcode labels, to meet unique organizational requirements. TRIM Context supports both single and batch printing of labels. Users are able to generate labels for either an individual record or for a group of records.

4.14 Internal Viewer Capability [C3.2.14.]

TRIM Context integrates with INSO viewer technology, including the extended graphics package. The viewer provides the ability to view over 250 formats of documents such as word processing, database, spreadsheets, graphics, Hypertext Markup Language (HTML), facsimile, several technical or CAD formats, etc. TRIM Context’s document viewer also has the ability to print documents being viewed.

4.15 Web Capability [C3.2.15.]

TRIM ContextWeb is a web-based document management solution. Users are able to undertake tasks normally associated with an electronic document management system from within their browser:

- Creating and checking in new and revised documents
- Action Tracking (Completing current actions)
- Checking out electronic documents for revision
- Retrieving and viewing information

4.16 Government Information Locator Service [C3.2.16.]

TRIM Context's Web Publish supports Government Information Locator Service metadata output. Web Publish templates can be created and stored with a selection of standard Locator Service metadata fields and appropriate values. Using Web Publish, these metadata fields and TRIM Context metadata values are included in the published HTML for indexing/retrieval by on-line search engines.

4.17 Enhanced Support for Off-Line Records [C3.2.17]

TRIM Context's Space Management function allows an organization to manage boxes of hard copy records and other off-line archives. TRIM Context extends a record's "Home" location to include its physical location in an off-line storage system. TRIM Context allows an organization to define a space management system up to 10 levels.

5. Management of Classified Records

TRIM Context satisfied all Chapter 4 requirements. The following paragraphs highlight TRIM Context's implementation of specific Chapter 4 requirements.

5.1 Managing Classified Records [C4.1.]

TRIM Context provides the capability to manage classified records using the TRIM Context security module. When the security module is activated, users can add metadata that describes the classified record and file it to the TRIM repository.

5.2 Mandatory Metadata [C4.1.1.]

TRIM Context comes with all the classified metadata elements as specified in Table C4.T1 of the Standard.

5.3 Classification Guides [C4.1.10.]

TRIM Context provides the capability to establish an automatically triggered classification guide. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and the "Declassify On" fields are automatically populated. Additionally, users will only see those classification guide indicators that match their security profile.

5.4 Editing Records [C4.1.12.]

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

5.5 Restricted Data and Formerly Restricted Data [C4.1.13]

TRIM Context provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, any data in the "Downgrade On" or "Declassify On" fields is not saved.

5.6 Record History Audit [C4.1.16.]

TRIM Context's record history captures changed metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

5.7 Access Control [C4.1.20]

TRIM Context provides the capability to restrict access to classified records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or No Markings. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, TRIM Context has the ability to restrict access on user-defined fields.

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